

## Securities and Exchange Commission

## § 249.1200

of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.821 Form PILOT, information required of self-regulatory organizations operating pilot trading systems pursuant to § 240.19b-5 of this chapter.**

This form shall be used by all self-regulatory organizations, as defined in section 3(a)(26) of the Act, (15 U.S.C 78c(a)(26)), to file required information and reports with regard to pilot trading systems pursuant to § 240.120240.19b-5 of this chapter.

[63 FR 70946, Dec. 22, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form PILOT, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## Subpart J [Reserved]

## Subpart K—Form for Registration of, and Reporting by Securities Information Processors

### **§ 249.1001 Form SIP, for application for registration as a securities information processor or to amend such an application or registration.**

This form shall be used for application for registration as a securities information processor, pursuant to section 11A(b) of the Securities Exchange Act of 1934 and Rule 11Ab2-1 (§ 240.11Ab2-1 of this chapter) thereunder, or to amend such an application or registration.

[40 FR 45424, Oct. 2, 1975]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SIP, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## Subpart L—Forms for Registration of Municipal Securities Dealers

### **§ 249.1100 Form MSD, application for registration as a municipal securities dealer pursuant to rule 15Ba2-1 under the Securities Exchange Act of 1934 or amendment to such application.**

This Form is to be used by a bank or a separately identifiable department or

division of a bank (as defined by the Municipal Securities Rulemaking Board) to apply for registration as a municipal securities dealer with the Securities and Exchange Commission pursuant to section 15B(a) of the Securities Exchange Act of 1934 (the "Act"), or to amend such application.

NOTE: Copies of Form MSD have been filed with the Office of the Federal Register as part of this document. Copies of Forms BD and MSD may be obtained from the Office of Reports and Information Services; Securities and Exchange Commission, 500 North Capitol Street, Washington, DC, 20549. Only printed copies of Form MSD should be used to apply for registration with the Commission.

[40 FR 49777, Oct. 24, 1975; 40 FR 54425, Nov. 24, 1975]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MSD, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.1110 Form MSDW, notice of withdrawal from registration as a municipal securities dealer pursuant to Rule 15Bc3-1 (17 CFR 240.15Bc3-1).**

This form is to be used by a bank or a separately identifiable department or division of a bank (as defined by the Municipal Securities Rulemaking Board) to withdraw from registration with the Securities and Exchange Commission as a municipal securities dealer pursuant to section 15B(c) of the Securities Exchange Act of 1934.

NOTE: Copies of Form MSDW have been filed with the Office of the Federal Register as part of this document. Copies of Form MSDW may be obtained from the Publications Section, Securities and Exchange Commission, 500 North Capitol Street, Washington, DC 20549.

[41 FR 28949, July 14, 1976]

## Subpart M—Forms for Reporting and Inquiry With Respect to Missing, Lost, Stolen, or Counterfeit Securities

### **§ 249.1200 Form X-17F-1A—Report for missing, lost, stolen or counterfeit securities.**

This form is to be filed with the Commission or its designee pursuant to paragraph (c) of § 240.17f-1 of this chapter by all reporting institutions subject

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to section 17(f)(1) of the Securities Exchange Act of 1934.

[44 FR 31504, May 31, 1979]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-17F-1A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**PART 249a—FORMS, SECURITIES INVESTOR PROTECTION ACT OF 1970 [RESERVED]**

**PART 249b—FURTHER FORMS, SECURITIES EXCHANGE ACT OF 1934**

Sec.

249b.1—249b.99 [Reserved]

249b.100 Form TA-1, uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.

249b.102 Form TA-2, form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

249b.200 Form CA-1, form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

AUTHORITY: 15 U.S.C. 78a *et seq.*, unless otherwise noted;

Sections 249b.100 and 249b.102 also issued under secs. 17, 17A and 23(a); 48 Stat. 897, as amended, 89 Stat. 137, 141 and 48 Stat. 901 (15 U.S.C. 78q, 78q-1, 78w(a)).

**§§ 249b.1—249b.99 [Reserved]**

**§ 249b.100 Form TA-1,<sup>1</sup> uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.**

This form shall be used for application for registration as a transfer agent and for amendment to registration as a

<sup>1</sup> Copies of the form may be obtained from the Publications Section, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549 and from each of the Commission's regional and district offices.

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transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 51184, Nov. 4, 1975, as amended at 51 FR 12127, Apr. 9, 1986]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.**

This form shall be used for withdrawing, pursuant to section 17A of the Securities Exchange Act of 1934, the registration of transfer agents registered with the Commission.

(Secs. 2, 17, 17A and 23(a); (15 U.S.C. 78b, 78a-1 and 78w(a)))

[42 FR 44984, Sept. 8, 1977]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-W, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 249b.102 Form TA-2,<sup>1</sup> form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.**

This form shall be used on an annual basis for registered transfer agents for reporting their business activities.

[51 FR 12134, Apr. 9, 1986]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 249b.200 Form CA-1, <sup>1</sup> form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.**

This form shall be used for application for registration or for exemption

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